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ABSTRACT

The Emergency School Assistance Program (ESAP) was developed as a Federal program to aid local education agencies (LEAs) in achieving and adjusting to recent racial desegregation of their public school systems. This is one of three volumes that constitute the final report of the evaluation of the ESAP. In Volume I, a summary of the overall study is presented. While briefly describing the technical approach and methods, this volume mainly presents and interrelates the findings of the survey of Phase I and the case studies of Phase II. The purpose of the evaluation was to: ( ) Verify that ESAP project were being conducted and determine whether changes in objectives or activities occurred from original plans; (2) Assess the effectiveness of ESAP on the following bases: Has the ESAP accomplished its goals?; What has been the overall impact of ESAP at the school level?; What has been the differential impact produce by the various types of ESAP activities?; Have ESAP projects had a meaningful role in the desegregation process?; (3) Assess the effectiveness of local project management in contributing to successful operation of ESAP projects; and (4) Assess the utility of the technical assistance provided by Federal ESAP staff to local school districts. Conclusions and recommendations are given. (For related documents, see ED 058 471 and ED 058 472.) (DB)

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Final Report UR-163

EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE PROGRAM

Volume I: Summary

February 15, 1972

a division of Resource Management Corporation
7910 Woodmont Avenue, Bethesda, Maryland 20014

Final Report UR-163

EVALUATION OF THE EMERGENCY SCHOOL ASSISTANCE PROGRAM

in three volumes

Volume I: Summary

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Phase I Director: Mr. Carl Blozan
Phase II Director: Mr. Paul Dienemann

February 15, 1972

Prepared for

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PREFACE

These three volumes constitute the final report for the outside educational evaluation of the Emergency School Assistance Program carried out by Resource Management Corporation under contract to the U. S. Office of Education. While two earlier interim reports described various aspects of progress during the study, this final report is complete in itself and intended to serve as a total record of study design and findings.

Volume 1 is a summary of the overall study. While briefly describing the technical approach and methods, it mainly presents and interrelates the findings of the survey of Phase I and the case studies of Phase II.

Volume 2 describes Phase I in detail. It discusses the methods, data, and conclusions stemming from the survey of a stratified random sample of 252 school districts.

Volume 3 discusses the insights gained from extensive examination of 20 selected school districts. Included as separate appendices are comprehensive case histories of each district.

ACKNOWLEDGMENTS

A study of this scope involves a sizeable project team. Key roles were held by the following RMC staff members. Specific contributions by other project team members and RMC consultants and subcontractors are described in Volumes 2 and 3.

- Project Director: Dr. Kenneth F. Gordon was director for the total project and was involved with both technical and managerial aspects. He was responsible for overall project performance and for liaison with the Office of Education and other governmental organizations.
- Phase I Director: Mr. Carl Blozan designed the analysis plan for Phase I and was responsible for the important task of processing and analyzing the large amounts of data resulting from interviews and questionnaires. Mr. Blozan was director of Phase I during most of its duration.
- Phase II Director: Mr. Paul Dienemann was responsible for the planning and control of Phase II. He supervised the case study researchers and coordinated the preparation of the case histories.

The government technical monitor for this study was Mr. Robert York of the Office of Program Planning and Evaluation, United States Office of Education. RMC wishes to acknowledge with great thanks his cooperation and technical contributions throughout this complex study. His guidance and suggestions have undoubtedly made this a better and more useful study. RMC also appreciates the assistance provided by Dr. Constantine C. Menges of the Office of the Assistant Secretary for Planning and Evaluation, Department of Health, Education, and Welfare, especially during the design of the Phase I survey. Also particularly helpful was the review of sampling procedures provided by Dr. Harold Nisselson of the National Center for Educational Statistics, U. S. Office of Education.

In addition to her role as a consultant during Phase II operations, Dr. Barbara Gordon contributed significantly to the preparation of Volume I. Her many years of professional experience in public education and her assistance as a critic contributed to an improved report.

Grateful acknowledgment also is given to the over 15,000 school and community personnel who gave their valuable time to complete our survey forms and provide answers to our many questions.

CONTENTS

1 CONCLUSIONS AND RECOMMENDATIONS. 1

General Conclusions. 3

Recommendations 13

2 BACKGROUND OF ESAP AND THIS EVALUATION 19

Purpose of History of ESAP 19

Need for Evaluation 23

Purpose of this Study 25

3 PHASE I METHODOLOGY AND FINDINGS 27

Phase I Methodology. 27

Findings 31

4 PHASE II METHODOLOGY AND FINDINGS. 47

Phase II Methodology 47

Findings 53

1

CONCLUSIONS AND RECOMMENDATIONS

> The purpose of the emergency assistance to be made available . . . is to meet special needs incident to the elimination of racial segregation and discrimination among students and faculty in elementary and secondary schools by contributing to the costs of new or expanded activities--designed to achieve successful desegregation and the elimination of all forms of discrimination in the schools on the basis of students or faculty being members of a minority group.[1]

With this stated purpose, the Emergency School Assistance Program (ESAP) came into existance in late August 1970. Under this program, local school districts carried out a wide variety of local activities they believed important and beneficial to their desegregation process.

RMC, Inc. was charged by USOE with the responsibility of monitoring certain aspects of ESAP operations and evaluating the effectiveness of FSAP activities conducted by the LEAs.[2] Even though the ESA Program was underway only a short time and many of the disparate ESAP activities were inherently not susceptible to impact-type evaluation, it was considered important to obtain all possible early clues about program effectiveness in order to facilitate expeditious program modification.

The research design for this study utilized a two-phased approach (in parallel) to obtain information needed to carry out the analyses. Although the broad purposes of these concurrent phases were similar, it is important to clearly distinguish between them, since the data collection and analysis methodology were considerably different. In summary:

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1. Part 181.2, Title 45, of Code of Federal Regulations.
2. Throughout this report the terms local education agency (LEA) and school district are used synonymously.

- Phase I was a broad survey of 252 school districts which represented about 30 percent of those receiving FSAP funds, but about 75 percent of total ESAP funds awarded. A stratified, random sample was selected to obtain data representative of the total program. Field teams visiting each district administered highly structured interviews to ESAP project directors, principals, teachers, and students. A field staff of about 70 persons completed over 9,000 interviews during March and April, 1970. In addition, a brief mail questionnaire was sent to members of the ESAP Bi-Racial Advisory Committee (BRAC) in all 900 districts.

- Phase II was an intensive study of 20 selected ESAP districts. While also seeking information that would assist in fulfilling the overall study objectives, Phase II investigated and documented ESAP activities which were thought to have successfully aided the desegregation process. Although several common data collection instruments were used in the 20 districts, the basic thrust for Phase II was an indepth, case study examination of the ESAP activities in an LEA, thus allowing concentration on the special characteristics of each situation.

The use of the two phases is significantly different. Since Phase I is a broad-based survey reaching a large number of participants in a large sample of school districts purposely chosen to be representative of all districts receiving ESAP funds, it allows conclusions to be drawn that would have applicability to the full program. Strict rules were established for randomly choosing schools to visit and persons to be interviewed to avoid the risk or claim that unrepresentative opinions or data were obtained because the school districts were allowed in any way to determine who was interviewed or what questions were asked. For similar reasons, highly structured interview forms were prepared and extensive training of interviewers conducted to ensure comparability of data and interview conditions. This allowed aggregation of data across all respondents and all school districts. While sample sizes were not sufficient to make judgments about individual school district activities, they were generally adequate to investigate the effectiveness of overall ESAP activities. In order to provide information about the activities of Bi-Racial Advisory Committees, as well as to obtain

information from persons outside the school system itself, a mail questionnaire was designed and sent to all members of the Bi-Racial Advisory Committees in all school districts receiving ESAP funds. In short, although the necessarily structured nature of the Phase I design limited the number of ESAP related questions that could be examined, its scientifically based research design provided a systematic basis for analytical examination of several key questions.

The use of Phase II, in contrast, was to allow a much deeper examination of ESAP activities in school districts believed to be successfully conducting desegregation programs. It was known that there was a wide variety of ESAP activities being undertaken by school districts and a wide variety of special conditions at the local level. Interviews during Phase II were more informal and the flexibility they provided allowed probing into relevant areas as they arose. In addition, interviews were conducted with many people outside the school system itself (where Phase I did not). While OE's primary purpose of Phase II was to investigate and document successful ESAP activities through extensive examination of their special situations, RMC also compared the results of similar situations or activities across districts as much as feasible.

While the research design of Phase I and Phase II each have inherent strengths and limitations, it was the hope of OE and of RMC that the two would complement each other in providing the information needed to explore the important questions relative to ESAP. It is important to recognize that subjective judgment is still a necessary ingredient in this study since there remains the need to compare "apples and oranges" in several parts of the respective phases.

GENERAL CONCLUSIONS

This section summarizes the conclusions RMC reached as a result of its study of ESAP. While much of the specific data for these conclusions came from the Phase I survey, the case studies of Phase II provided additional insights and a basis for confirming the relationships. It is necessary for the reader to realize that in a study of this magnitude, many results cannot be reduced to compact phrases and statements. It is imperative that the reader go beyond these brief

summarizations of conclusions into the body of the report to gain full insight into the complex findings and the background of the various data treatments which led to these statements. These overall conclusions are grouped under the major objectives established for this evaluation study. Although there are four major areas of investigation (along with our subareas), they are not of equal importance; clearly the impact or effectiveness of ESAP activities predominates.

Verification

Objective 1. Verify that ESAP projects were being conducted and determine whether changes in objectives or activities occurred from original plans.

RMC personally visited over 260 LEAs in total and found all were carrying out their ESAP projects. Although it was not a major purpose of this contract to audit projects, it can be stated that there was no evidence of purposeful misrepresentation or neglect. All but five percent of the over 1,100 separate activities had moved from planning into implementation by January 1971. All were being implemented by the time of the site visit, except those explicitly planned for the following summer. While a large percentage of principals and teachers did not recognize ESAP activities supposedly going on in their schools, it appeared this was due to lack of communication and internal confusion about sources of funding rather than absence of the activity. The fact that local school personnel readily got ESEA, ESAP, EPDA, NDEA and Title IV programs confused is more normal than surprising (and may not really affect results anyway). The more "federal alphabet soup" is presented to local school staff, the more chance exists that they will not be able to attribute specific outcomes or activities to specific programs.

There were many changes from original plans. Over two-thirds of the LEAs had made changes in the activities they were conducting. Some of the districts indicated that the changes had been approved by the HEW regional office. The large changes from original plans were not surprising in light of the short time for planning and preparing of the ESAP application. Moreover, most changes in

activities moved toward having more of the activities found to be effective by this study. The minor verification problems observed were explainable in terms of the fast start-up of ESAP.

In discussing the changes the districts made, one can speculate about the role of critical publicity by civil rights organizations (such as the evaluation report coordinated by the Washington Research Project). By getting into the field early in the ESAP cycle and identifying several actual or potential abuses of this program, such organizations probably had an impact in the changing of some of the original plans toward more acceptable activities. The power of adverse mass media publicity upon program plans and activities in public education should never be underestimated.

Effectiveness of ESAP

Before discussing specific effectiveness questions, two general observations must be considered.

First, there is little doubt ESAP was well-received as an assistance concept by school districts. They liked it and wanted more. ESAP did provide many millions of dollars to over 900 school districts. It allowed these districts to undertake thousands of activities they considered of critical importance in their districts. Based upon the claims and conclusions of the school superintendents and ESAP project directors to whom we spoke during the survey and case study investigations, ESAP had (independent of effectiveness outcomes) spurred district administrators toward more positive thinking about the desegregation process. In many cases, these school administrators had long been the focus of conflicting community and judicial dissatisfaction. Via ESAP, the federal government had now taken the step of sending a badly needed resource--money--rather than just issuing orders and instructions.

The second observation concerns the question of expectations. An important element in judging to what extent ESAP was successful is to realize that it may not be reasonable to expect such a program to have large effects upon desegregation and educational outcomes during its first year. There are several reasons for these limited expectations: (1) the limited time for operation of ESAP prior to field observations, (2) the very short period for application and planning, (3) the fragmentation of efforts allowed by the ESAP regulations and undertaken by LEAs, (4) the low level of ESAP funds relative to existing LEA budgets (averaging about two percent), and (5) the tendency for many LEAs to invest in standard approaches or add to existing programs.

It should not be forgotten that ESAP funds went into many school systems where there were two, rather than just one type of inequality operating against children:

(1) Children were in districts which maintained dual schools until sometime within the previous three years; they were disadvantaged in terms of social and educational contact with children and faculty members of another race.

(2) The majority of children affected by these ESAP activities were attending schools where the economic expenditure per pupil also put them at a disadvantage in comparison with children in the rest of the United States.

The latter fact has also led many educators (and legislators) to argue that ESAP should help children and teachers not only to adjust to a new social school setting, but also should upgrade the quality of education by raising (albeit only slightly) the dollars spent on school operations.

Accomplishment of ESAP Goals

Objective 2a. Has the Emergency School Assistance Program accomplished its goals?

Conclusions about program goals depend on (1) the particular interpretation of program purposes adopted, and (2) the type of evidence the policymaker will accept as proof. As in the case of many federal programs, ESAP regulations and

guidelines are not specific in the area of goals or outcomes. This forces the evaluation contractor (as well as the LEAs) to make certain assumptions so that goal accomplishment can be assessed. In the case of ESAP, two assumptions must be examined.

One assumption is that ESAP was primarily intended to bring about short-run improvements in the desegregation process. There is evidence that such gains were made. Respondents during Phase I perceived many changes for the better had occurred and indicated there had been a lessening of concern about the advent of racial desegregation. But there was little basis for attributing a large portion of the improvement to ESAP. However, it is not possible at this time to confirm this with objective evidence of specific outcomes or measurable effects upon students or school activities.

Another assumption is that ESAP was also intended to achieve longer-run improvement in educational quality in ESAP districts as a way of preventing white flight from the schools and handling the wide range of student abilities now in the classroom. ESAP pursued this goal since many LEAs did select ESAP activities that were primarily aimed at upgrading educational quality. For example, during Phase II several situations were found where school administrators were using ESAP activities to show the community that the school was concerned with educational quality and to obtain the parents' confidence and support for the public school system. While RMC perceived a definite need to raise the quality of instruction and services in many LEAs, the question remains if a temporary, special purpose grant like ESAP is the proper vehicle to use. RMC found most ESAP activities could also have been supported under other federal programs (such as Title I and III of ESEA), or, of course, from regular state or local funds. There are undoubtedly many situations where such an improvement program would be justifiable in light of desegregation problems, but RMC feels this aspect must be carefully examined to prevent abuse of the categorical nature of the ESAP legislation.

Another aspect of accomplishing ESAP goals concerns the target group reached; ESAP was intended to help school districts undergoing desegregation (within the three previous years). RMC's data allow this goal to be assessed in terms of the

specific schools carrying out ESAP activities. Since less than half of the ESAP schools experienced significant changes in racial mix (became more integrated by more than 5 percentage points) between 1969-70 and 1970-71, considerable doubt is raised that ESAP was concentrated in schools having substantial racial change. RMC had no data concerning racial changes in previous years. The results of this survey indicate the need for more attention to the actual target groups being affected.

Overall Impact of ESAP

Objective 2b. What has been the overall impact of ESAP at the school level?

The aggregate effect of the total ESA Program was found to be positive, but small, when RMC examined the overall impact of the ESAP activities by analyzing the distribution of positive changes perceived by respondents in Phase I schools. In light of the earlier discussion of limited expectations for ESAP and the later observation that some ESAP activities were effective and some not, a very small overall effect may not be surprising. The size of the difference was not enough to have a great practical meaning. Thus, in terms of perceived outcomes, it is difficult to say that there is a measurable impact from the combined effect of all ESAP activities. Conversely, that possibility has not been eliminated. However, if ESAP had produced a sizeable improvement in most local situations, it can be expected that RMC's survey would have been able to detect that shift.

In terms of the overall subjective results (from Phase I respondents, and from study of Phase II districts), ESAP had a favorable impact; i.e., people liked it and generally thought well of the things the LEAs were undertaking.

Differential Impact of ESAP Activities

Objective 2c. What has been the differential impact produced by various types of ESAP activities?

One of the most useful results of this study stemmed from its ability to assess the differential effectiveness of varying types of activities. Previously little aggregate comparable data had been available on this important assessment issue. Moreover, these conclusions come primarily from the assessments of school personnel, a dimension of program assessment which has heretofore been wasted in the faculty room, school bus or other popular place for informal communication.

Clearly, some types of activities have been found to be more effective than others. The formal analysis of Phase I revealed a group of four activity types as being consistently associated with successful outcomes: counseling, counseling support, student-to-student programs, and remedial programs. Phase I also found teacher training activities consistently unfavorably associated with successful outcomes. Phase II did not find this latter relationship, but the exemplary nature of the Phase II district programs may have resulted in the selection of more pertinent training activities accompanied by better performance.

While RMC can conclude that certain types of activities are generally more effective in schools which are undergoing desegregation, it is also true that the special needs of a school/community must be considered when selecting ESAP activities.

There were two trends observed in one or more activity groups that could have adverse effects and merit more careful consideration in future programs:

(1) In many schools it appeared that their choice of ESAP activities might lead to as many future problems as were being solved this year. Many activities were providing services that would have to be continued beyond an emergency or one-time treatment if they are to have the desired effect. Moreover, if some activities are discontinued abruptly (such as teacher aides, extra teachers, counselors), adverse reaction from teachers, parents and community organizations can be expected. Because of very low local financial resources, it cannot be assumed that LEAs will continue ESAP activities with local funding. In fact, several administrators volunteered that they really needed additional staff, but because of uncertainties of future funding, they bought instructional materials or undertook curriculum revision instead. The overall tendency was characterized by the decision that it was better to try something once and lose it, than never have tried it at all. USOE should have faced this issue more directly than it did.

(2) While equipment and materials are often important to an educational program, there were indications that ESAP funds were sometimes used to purchase equipment that was not an important part of the local educational process or was not utilized effectively. Usually,

this purchase was initiated because one or two school personnel pushed for it or because funds suddenly became available through grant approval on short notice, late start-up of activities, or inability to hire planned personel. A good example is video recording equipment (a popular item last year). Much of this equipment was underutilized or, in some cases, not utilized at all. If USOE wants to improve effectiveness, it could require that LEAs proposing purchase of such complex equipment: (1) show specifically how it will be utilized, (2) show that a qualified person will be available to teach others how to use it, and (3) in the case of using video recording equipment for in-service teacher training, indicate whether the local teacher professional organization has agreed to this type of supervision and in-service training.

Similar concerns and problems have occurred in other federal educational programs (such as the first year of Title I, ESEA), and USOE must be sensitive to such ineffective use of ESAP program funds.

ESAP Role in Desegregation

Objective 2d. Have ESAP projects had a meaningful role in the desegregation process?

This objective has been discussed partially in the above sections. To reiterate, if role in desegregation is interpreted to mean perceived by school administrators as helpful in adjusting to the desegregation process, then the conclusion about ESAP is a favorable one. If role in desegregation is interpreted as having measurable impact on interracial attitudes and behavior, then it must be concluded that the overall evidence indicates only a slight impact. However, as indicated above, it was concluded that several particular type activities had significant positive and negative associations with successful outcomes. In terms of specific target groups being reached, RMC found that less than half of the schools with ESAP activities had undergone significant changes in racial mix for the 1970-71 school year.

Although resources did not allow examination of specific desegregation plans during Phase I, indications are that ESAP activities did not play a significant role in their implementation. For example, less than 10 percent of ESAP funds were used to realign student attendance patterns per se (e.g., purchase of portable classrooms, transportation, and comprehensive planning). The rest was used for improving instruction and helping school personnel (students and teachers) and the community adjust to the desegregated situation.

One particular way ESAP assisted the school desegregation process emerged from the more informal discussions with superintendents and other administrators (especially in Phase II investigations). The existence of ESAP funds and programs provided school officials with an acceptable reason for undertaking certain actions. School districts were often able to openly face the issue of desegregation and present solutions to related problems without "losing face" with community residents since they could say it was a federal and not a local program. In many communities, the school officials were very receptive to such actions and the school was the leading force toward interracial integration.

Local Project Management

Objective 3. Assess the effectiveness of the local project management in contributing to successful operation of ESAP projects.

RMC feels that local project management during operation of the ESAP activities (separate from advance planning decisions) was adequate and not much different from local management of most other federally funded educational projects. The shortness of time for advance planning contributed to many problems, but that was out of the control of local management. It must be noted that the most critical actions were the decisions made during the planning stage. These decisions were in regard to the selection of activities to be undertaken and the design details of staffing, instructional methods, materials choice, etc. As has been discussed in other sections, the soundness of many of these decisions is questionable. RMC feels that there was considerable unrealized potential in this area and it would have helped many projects if better management actions had been taken. For example, both Phase I and Phase II studies found that most teachers and principals knew very little about the objectives or operational details of ESAP activities going on in their schools.

As is often the case, it appears to an outside evaluator that better monitoring and evaluation at the local level would have facilitated needed program modification (and contributed to improved federal evaluation). Although correct, this need must

be viewed in the proper perspective. Consideration for evaluation is usually included in the ESAP application for funding. Unfortunately, that feature gets little consideration after that. The local schools feel that

(1) they will seldom, if ever, be called upon to produce specific results because that comes under an unacceptable feature called "federal program meddling" and "loss of local control."

(2) their expertise is not in evaluation. They are "doers" rather than researchers.

(3) most of their evaluation ideas--written under the pressure of quick application deadlines--become impractical when considered for use. They are not prepared for sophisticated data collection instrumentation and analysis. In reality, the districts are usually having a hard time paying for personnel and other necessary operating costs; money for evaluation seems of lowest priority.

(4) those that do try to do local research get discouraged because they have all sorts of evaluators and mass media "shooting down" their efforts--wrong test, wrong conditions, wrong statistical tools, etc. Few evaluators at the upper eschelons praise and support local evaluation attempts.

Thus the reality of the local evaluation efforts of ESAP is not much different than in other programs; i.e., there are other pressures at the local level affecting the selection and progression of activities which are more visible than evaluation results. The pressure of all types of community groups, the pressure of the teacher collective bargaining unit, the philosophy of the ESAP director, etc., collectively or individually, probably affect activity selection and operation more at the local level than do objective evaluation data.

Technical Assistance

Objective 4. Assess the utility of the technical assistance provided by federal ESAP staff to local school districts.

Only one-quarter of the Phase I ESAP project directors stated that they had received technical assistance for planning or implementation. Those who did receive help perceived it as generally effective. On a relative basis, HEW Region

VI (Dallas) was more effective than Region III (Philadelphia) or Region IV (Atlanta).

There clearly was a need for more technical assistance to the LEAs, both to reach the other three-quarters of the ESAP districts and to improve the effectiveness of all decisions made about ESAP. Although only Phase II districts could be examined in depth, RMC felt that greater effectiveness of ESAP funds could have been obtained if districts had made better decisions about selection of ESAP activities and the details of their design. More and/or better technical assistance (from all sources) about how to analyze the district's real requirements, what programs have worked elsewhere, and what are the best current practices in American education would likely have improved program effectiveness significantly. This is particularly true for the large number of smaller LEAs in the Southern States.

RECOMMENDATIONS

Based upon the various analyses done as a part of this study (in both Phase I and Phase II) and upon the current state of educational research, RMC has prepared the following major recommendations:

1. Emphasis of future ESAP grants (under old or new legislation) should be toward those types of activities found most effective by this evaluation study and away from the one type found ineffective. At the same time, additional research should be undertaken to determine why these activities have the observed effects.

2. Improved legislation should be sought and/or HEW guidelines prepared that would clarify objectives and facilitate more effective programs. More specifically, the legislation and guidelines should include the following factors:

    (a) Objectives and purposes which these federal funds are attempting to achieve should be clearly stated. While RMC recognizes the conflicting pressures within Congress and the Executive Branch, it is

not reasonable to expect these funds to have a meaningful impact or to be used efficiently unless they are narrowly focused on short-range desegregation problems. Otherwise, they mainly serve the purpose of general aid to education.

(b) Priorities should be set to guide LEAs in selection of activities for ESAP funding that relate more closely to the purposes of the enabling legislation. LEAs should not be criticized for undertaking activities too general or too minor, if USOE itself cannot establish priorities as a part of its regulations and guidelines.

(c) Legislation and funding approvals must allow sufficient time for needed planning and staffing. Last minute dumping of funds into a school system will often only result in purchase of extra equipment/materials or the hiring of less qualified, but available, personnel. As far as effectiveness of the ESAP program funds, it would probably be better to skip a whole school year if necessary, i.e., rather than immediately give out funds that become available in the fall (as was done for both the first and second year of ESAP), award the grants in the spring for use starting the next school year.

3. One way to increase the effectiveness of an ESAP-type approach (with only minor modification to existing legislation or guidelines), is to facilitate and encourage better planning on the part of LEAs. Local districts often did not have an adequate picture of the real needs regarding their desegregation and educational processes. Several specific ways planning could be helped are:

(a) HEW could encourage or require planning periods (perhaps one to six months) before final grants would be approved. It would be worthwhile (in better and more efficient ESAP activities), for ESAP to pay the cost of this LEA planning effort.

(b) Federal and state agencies could provide more and better technical assistance to LEA staffs. Contemplated here is substantive help on what works in educational compensatory programs and how to get them into operation. Included should be help on maximum use of other federal and state programs so as not to dilute ESAP funds.

(c) In all ways possible, give LEAs more advance notice on availability and approval of funds so activities can be integrated into the normal school planning cycle. Both ESAP I and II have been particularly bad in this respect.

(d) Wider participation in planning could help many districts, including inputs from teachers, students, parents,and other citizens. This additional information and these opinions would be especially useful for those decisions that involve value judgments about what activities are more important or what problems are most critical.

(e) LEAs should be encouraged to conduct more and better evaluations of their own ESAP activities in order to have an adequate, objective basis for their planning decisions on selection and modification of projects. Unfortunately, many LEAs (particularly smaller ones) do not have the capability to design or carry out such evaluations; the technical assistance discussed above must also address this need.

4. Based upon the experience of this study, RMC has several suggestions that should facilitate and improve future evaluations of ESAP or similar public programs.

(a) Avoid excessive expectations of what a program effectiveness study can hope to show. While it can produce information for policy-makers that would not otherwise be available, it is extremely difficult to produce anything definitive for a program as young and diverse as ESAP. It must be recognized that the evolving state-of-the-art in public program analysis and measurement puts severe constraints on the ability to make precise measurements and separate out the effects of multiple programs. An evaluation that has been oversold to obtain its approval will have great difficulty in gaining acceptance of its results or in having an impact on policy decisions.

(b) USOE should strive to improve the research design available to the evaluator. For example, pretest-type measurements of certain variables should be included so it will be possible to assess change from a baseline situation. Furthermore, control or comparison groups should be included so as to allow estimation of what would have occurred without the specific program.

(c) USOE should continue the practice of having an evaluation study monitored by a person who is professionally competent in the appropriate field and who can work closely with the contractor throughout the study. This procedure will benefit both the government and the contractor. It facilitates interpretation of the total requirements of USOE and insures effective coordination with the several parts of USOE likely to be involved.

(d) The use of personal site visits to obtain required data is important and should be continued for studies of this kind. The poor response experience of BELMONT educational surveys illustrates that dependence on mail survey of individuals or the initiative of school personnel to provide data will usually not provide sufficient, reliable information. In contrast, properly trained and capable field staff will usually receive excellent cooperation when they deal face-to-face with the necessary school staff.

(e) For field staff in future studies, it is suggested that strong consideration be given to using persons in education (graduate students, former teachers, etc.) as supplemental staff, as was done by RMC for this study. While requiring special recruiting and training efforts, this approach has the extra benefit of involving in such research the people who will later be implementing (or leading) the educational programs being examined. Moreover, these persons are likely to initiate a multiplier effect within their schools. RMC observed many cases where its staff underwent positive changes in attitudes and outlook as a result of the extensive exposure to ESAP activities, desegregation problems, and local educational situations they received during this study.

5. Further research should be undertaken concerning the effectiveness of ESAP activities. It should have the following characteristics:

   (a) It should focus on systematic study of a probability sample of projects and attempt to confirm/expand the finding of this initial evaluation in light of two years ESAP experience.

   (b) Use case studies only as a way of further exploring specific relationships found in the systematic study.

   (c) An improved research design should be used that will increase the ability to attribute and separate program causes and effects.

   (d) A carefully selected sample should be utilized but it probably does not need to be as large a sample of LEAs as used in this study.

6. While it was observed that a primary factor in the outstanding success of an ESAP project was often the dynamic leadership of a particular person, it was also felt that local districts could make ESAP funds more effective if they were better able to assess their real needs and design the details of project operations. The need for improved performance by managers and administrators (at both federal and local levels) is a common thread that runs through several of the conclusions and recommendations of this study (such as improved technical assistance, better evaluation, better planning, clearer priorities and guidance). New approaches are needed by USOE; the following two suggestions are examples of initial actions that could be taken:

   (a) Many evaluations, including this one, feel that LEAs could benefit greatly from more technical assistance from HEW in the practical matters of planning, operations, and evaluation. But the quantity and abilities of staff in the HEW Regional Offices are limited and may not be able to achieve such a goal. RMC suggests that HEW test out the effects of additional technical assistance. HEW could take one region (chosen competitively, if possible), subdivide it into parts, and experiment with different arrangements for technical assistance for ESAP (or the proposed $1.5 billion program). While a large part of the region would be treated as in the past, additional staff would be used to provide additional assistance to several subsets of randomly selected LEAs in a pattern of high and medium amounts of extra

help in planning assistance, operational assistance, evaluation assistance, or all the above.

(b) USOE could begin a personnel exchange with the goal of providing needed experience and improved decision-making. This exchange program could operate between central USOE staff and ESAP schools, and between HEW regional offices and ESAP schools. Many of the staff at USOE and the regional offices have been educators, but often not in ESAP-type districts or at the grassroots level. College level or research settings provide little background for making many decisions about ESAP activities. Similarly, the narrow viewpoint and background of one school district often do not provide the broad outlook needed to successfully chart the course into new educational directions. Six months or a year in a local ESAP directorship (or conversely at OE or a Regional Office for the school administrator), might provide valuable insights in useful areas. The ultimate benefactors would be the ESAP programs and children.

2

BACKGROUND OF ESAP AND THIS EVALUATION

Racial desegregation in public education is about as significant and controversial a subject as can be identified in the last two decades. It continues to have very significant political, social, educational, and economic implications for several levels of society.

This report presents the results of an Office of Education-sponsored evaluation study of the Emergency School Assistance Program (ESAP), which was developed as a federal program to aid local education agencies (LEAs) in achieving and adjusting to recent racial desegregation of their public school systems. This volume is intended to present an overview of all parts of the study prior to reading the detailed discussions of Volumes 2 and 3. It draws upon the results of both the Phase I survey and the Phase II case studies in order to reach conclusions about ESAP.

PURPOSE AND HISTORY OF ESAP

The general purpose of ESAP is conveyed by the excerpt from the authorizing regulations presented at the beginning of Chapter 1. As a result of broad wording in the regulations, an extremely wide variety of educational activities were allowed

to be funded under ESAP grants.[1] The regulations made the implicit assumption that the local district knew best what it needed to help its desegregation process and, therefore, that the district had the responsibility to decide what activities should be undertaken. The Regional DHEW Office was to verify that decision when reviewing ESAP applications, but the pressures for quick turn-around (the goal was 36 hours) meant that only a small number of requested activities were judged unsuitable. The regulations and the applications presented a varied list of activities that could be undertaken with ESAP funds. They fell into the following major groupings.

(1) special community activities,

(2) special pupil personnel services (including remedial services),

(3) special curriculum revision activities,

(4) special teacher preparation activities,

(5) special student-to-student activities,

(6) special comprehensive planning and logistical support, and

(7) other ESAP activities.

The history of ESAP goes back to March 24, 1970, when President Nixon issued a statement on school desegregation and highlighted four special categories

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1. RMC adopted the following ESAP definitions for consistency within this study. It is believed they are compatible with the definitions used within USOE and most field personnel.

Program: used to describe the overall ESA program. In total, the program consists of grants to about 900 school districts.

Project: used to describe the package of ESAP functions funded at a specific school district.

Activity: used to describe the specific function being carried out with ESAP funds. For example, an in-service program to improve human relations and the employment of teachers' aides.

of need.[1] In a message to Congress on May 21, 1970, the President proposed the Emergency School Aid Act of 1970, to meet those special needs. In this new legislation, he proposed three categories of aid:

(1) aid to districts now eliminating de jure segregation either pursuant to direct federal court orders or in accordance with plans approved by the Secretary of Health, Education, and Welfare, for special needs incident to compliance;

(2) aid to districts that wish to undertake voluntary efforts to eliminate, reduce, or prevent de facto racial isolation, with such aid specifically targeted for these purposes; and

(3) aid to districts in which de facto racial separation persists, for the purpose of helping establish special interracial or intercultural educational programs or, where such programs are impracticable, programs designed to overcome the educational disadvantages that stem from racial isolation.

He requested one-half billion dollars be appropriated in FY 71 and one billion dollars in FY 72 for this aid. Anticipating that this proposed legislation would not be enacted in time to be available when schools opened in September 1970, he requested on May 25, 1970, that Congress appropriate $150 million under six

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1. (a) The special needs of desegregating (or recently desegregated) districts for additional facilities, personnel, and training required to get the new unitary system successfully started;

   (b) the special needs of racially impacted schools where de facto segregation persists--and where immediate infusions of money can make a real difference in terms of educational effectiveness;

   (c) the special needs of those districts that have the furthest to go to catch up educationally with the rest of the nation; and

   (d) the financing of innovative techniques for providing educationally sound interracial experiences for children in racially isolated schools.

existing USOE and OEO legislative authorities[1] that could be used immediately to help school districts that were undergoing desegregation. Although at this writing the Congress is still considering that basic legislation, it did appropriate one-half the supplemental money requested ($75 million) on August 18, 1970, and thereby established ESAP.

Because of the unusual way the existing program was authorized and initiated, there are several special factors that affect the ESAP activities being evaluated by this study:

(1) Since no legislation has been enacted to establish objectives, requirements, etc., the applicable regulations are those written by DHEW and published in the Code of Federal Regulations as Title 45, Part 181.

(2) Although the six statutory provisions being utilized have their own restrictions, their combination and interpretation within ESAP regulations allow a comprehensive group of activities to be supported.

(3) Although the proposed legislation is intended to attack both de jure and de facto segregation, ESAP only deals directly with the de jure situation (i.e., Category I above). The critical problem was thought to be the districts just beginning to operate under changed legal requirements.

The ESAP regulations were published in the Federal Register on August 22, 1970, and school districts urged to apply for grants. Special regional briefings were conducted and special processing procedures were established in the DHEW Regional Offices so that funds could be channeled to the districts as fast as possible

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1. (1) The Education Professions Development Act, Part D.
   (2) The Cooperative Research Act.
   (3) The Civil Rights Act of 1964, Title IV.
   (4) The Elementary and Secondary Education Act of 1965, Section 807.
   (5) The Elementary and Secondary Education Amendments of 1967, Section 402.
   (6) The Economic Opportunity Act of 1964, Title II.

in order to be of help in the early part of the school year. By September 18, 1970, 301 districts had been granted about $17.2 million. Funds were allocated to states by formula and then the Title IV Division of the relevant DHEW Regional Office awarded individual project grants. By December 10, 1970 (the cut-off date used for sample selection in this study), 875 districts had been granted almost $60 million. Eventually, $64 million was granted directly to about 900 local school districts during FY 1971. The remainder of the $75 million appropriation was used for grants to community groups (the so-called ten percent program) and for DHEW administration costs.

Congress passed a continuing resolution that allowed USOE to fund (or refund) ESAP grants for FY 72. The total funds and allowed activities are essentially the same as FY 71. As of the date of this report, the proposed $1.5 billion emergency aid bill is still being discussed in Congress.

NEED FOR EVALUATION OF ESAP

There are several reasons why ESAP was evaluated at this time. First is the need for information and guidance for policy decisions about ESAP by USOE and DHEW staff. Examples of policy decisions that could be influenced are allocation or reallocation of resources, drafting of guidelines and regulations, addition or deletion of authorized ESAP activities, and specification of evaluation criteria and procedures for ESAP projects. Note that this need does not require making judgments or decisions about individual school districts; the emphasis is on policy decisions that affect ESAP as a whole.

The second purpose is to provide inputs to the legislative process. Depending on the timing of consideration, information about effectiveness and efficiency of existing ESAP activities could and should be a factor in shaping the final details of the pending $1.5 billion legislative package for further ESAP-type aid.

A third reason for the study is to obtain (as also required by the ESAP regulations) an evaluation by an independent organization--i.e., one not connected with any school district receiving funds or to the parts of USOE and DHEW that administer

or monitor the ESAP activities. ESAP, and school desegregation in general, is a very controversial subject. It is important to have an unbiased, objective research design if the results of the evaluation are to be credible and useful.

A brief word is needed about the relationship of this evaluation of ESAP to the many other evaluations that also exist. As stated, this evaluation is the independent, outside evaluation required by the authorizing regulations and is sponsored by the central planning and evaluation agency within OE. The regional staff of the agency within OE which administered ESAP (the Division of Equal Educational Opportunity--DEEO), audits and monitors each ESAP grant, but these are the same people that helped design many ESAP projects and approved all of them before funding could occur. The Office of Civil Rights (OCR) of DHEW also monitors each ESAP school district (as well as others) to see that districts are fulfilling all relevant civil rights regulations (including the special specifications of ESAP regulations).

Congress itself has also initiated a special audit of a sample of ESAP grants via its agency, the General Accounting Office (GAO). Although their initial focus was the policies and procedures for approving ESAP grants, GAO is now apparently examining the ESAP activities and subactivities of specific school districts.

In addition, there have been several other evaluations and audits by private civil rights groups, Title IV desegregation centers, congressional committee staff members, and State Education Department staff. There is no question most ESAP districts felt over-evaluated (and often harassed), and this may have been a factor in the reaction of some districts to the RMC survey. Based on present knowledge, none of the other evaluators interviewed ESAP participants (teachers, principals, students, etc.), either systematically or in as large numbers, as was done during RMC's evaluation. Where available, data from these other investigations of ESAP have been examined by RMC during its analysis.

PURPOSE OF THIS STUDY

In cooperation with USOE, the following specific objectives were defined to provide guidance during conduct of this assessment of ESAP.

(1) Verify that ESAP projects were being conducted and determine whether changes in objectives or activities occurred from original plans.

(2) Assess the effectiveness of ESAP on the following bases:

- Has the Emergency School Assistance Program accomplished its goals?
- What has been the overall impact of ESAP at the school level?
- What has been the differential impact produced by the various types of ESAP activities?
- Have ESAP projects had a meaningful role in the desegregation process (including specific desegregation plans, if relevant)?

(3) Assess the effectiveness of local project management in contributing to successful operation of ESAP projects.

(4) Assess the utility of the technical assistance provided by Federal ESAP staff to local school districts.

This study was also intended to avoid examination of the following issues (except as they related to the above objectives), in most cases because they are the subject of other studies or agencies. The procedures and process used by both central and regional OE staff to allocate ESAP funds and select ESAP projects were considered outside the scope of this study. Furthermore, although individual ESAP projects in a sample of districts were examined to obtain representative information about overall ESAP activities, effectiveness, and problems, it was not intended to pronounce judgments about the actions of particular school districts.[1] In addition, the checking for legal compliance by LEAs with court orders of HEW desegregation

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1. In fact, the need to assure anonymity to individual respondents precluded the feedback of ESAP assessments to each LEA as originally desired.

regulations was avoided, partly because other agencies perform that function and partly to increase the probability of getting local cooperation in obtaining the needed information relating to ESAP effectiveness. RMC did not attempt to observe or measure accurately the degree of racial integration in schools or classrooms, since that information had already been collected by the Office of Civil Rights (OCR). To avoid overburdening LEAs, RMC obtained school racial data from OCR. Of course, the precise auditing of accounting and financial records remains the function of internal government agencies.

The specific objectives and tasks of this study were also influenced by the two following general goals or thrusts that were established by the Request for Proposal. They served as constraints or boundaries during the design of the research approach and the operational plans.

(1) Independence. The evaluation should be conducted on contract by a non-government organization not selected by or responsible to the ESAP program staff or the school districts. Moreover, the design and conduct of this evaluation should be independent of other evaluations of ESAP, although available information from other ESAP studies should be considered when preparing conclusions and recommendations.

(2) Timeliness. This evaluation is clearly short-term in nature, primarily because ESAP projects will have been operating for such short periods of time (some have yet to start implementation). Therefore, the focus will be on short-term or immediate effects resulting from ESAP projects. A second important aspect of timeliness is the short performance schedule. To provide maximum use of results from the evaluation study in the federal decision-making process, early transmission of information (even though preliminary) was encouraged.

3

PHASE I METHODOLOGY AND FINDINGS

PHASE I METHODOLOGY

The basic structure of the technical approach in Phase I was greatly constrained by the fact that its task was to judge the effectiveness of a program underway only a few months by visiting over 250 districts during a concentrated six-week period. Moreover, most ESAP activities were aimed at changing interracial attitudes and behavior; therefore, the measurements and criteria must be focused on those hard-to-measure variables. Obviously, systematic observation or measurement of objective data was impractical to obtain. Thus, it was necessary for RMC comparisons to rely on what people involved in this desegregation and education process said about what was happening or what changes have occurred.

Fortunately, the data collection and analysis techniques of the field of social survey research were available to facilitate this process. Many years of experience with opinion polls and social science surveys have enabled the survey profession to develop procedures that provide reasonable validity and reliability. While RMC recognized the concern that the sensitive nature of racial attitudes may lead some respondents to give false information or to echo the party line of an advocate group (black or white), we believe the anonymous, structured interviews undertaken by this survey have produced reliable and valid information. This need to rely heavily on the views and claims of affected personnel in each school system had significant effects on other parts of this study. These claims

were supplemented by the observations and conclusions of our field staff, but there was little opportunity in Phase I for direct measurement of performance-based effects that could be influenced by ESAP activities. Moreover, the timing of ESAP (and of this survey) meant that

(1) the short period of ESAP implementation allowed little opportunity for accumulative or long-term effects to be felt, and

(2) the March-April time for most RMC data collection precluded the availability of end-of-school-year measurements and assessments of pupil performance.

On the other hand, considerable past research with performance-based measurements (such as student achievement and teaching performance), indicate they probably would have limited usefulness in such program evaluations. Therefore, as suggested by the Request for Proposal, this study mainly utilized a survey or personal interview approach to data collection that obtained information about attitudes, opinions, and perceived results.

Several design aspects have important implications for interpreting the findings and thus should be summarized at this point. In view of the nature of this evaluation study, the alternative analysis approaches available to RMC were limited. Because this was a retrospective study, it was not possible to identify classical control groups against which to compare results. Where available data allowed, a substitute approach was used instead, where static (internal) control groups were established for comparing schools with a specified ESAP activity to schools without it. Approaches similar to that used for this study are commonly used in education and other social sciences. Heavy reliance was given to relative measurement as a basis for determining the existence or direction of impact relationships, since the lack of agreed-upon standards in the area of desegregation make measurement of absolute values for attitudes and behavior relatively weak.

Given this background, it is now possible to outline the analysis procedures RMC followed in examining the survey data from Phase I. In the absence of

agreed-upon measureable objectives of ESAP or its specific activities, RMC defined specific criteria to measure the effectiveness of the projects being carried out under ESAP. For Phase I these criteria focused specifically on interracial attitudes and behavior that would be expected to improve in classroom and non-classroom situations if the program goals of assisting the school desegregation process were being achieved. Statistical examination of interview data relating to these measures revealed that five criteria were measuring effects other than respondent bias and could serve as discriminating measures of what was happening in various districts under ESAP. These five measure perceived changes in (1) interracial student friendships, (2) interracial student cooperation in class, (3) interracial teacher-to-teacher relations, (4) interraical student groupings outside of class, and (5) school attendance of black students. Although it is agreed there are other goals and benefits that could be ascribed to ESAP, RMC feels these five, which held up statistically, are fully compatible with the emergency nature of this legislation. At later points, particularly in Phase II, we considered other possible benefits of ESAP. As has been stated previously, this study, or any similar study, cannot show cause and effect relationships due to ESAP; the best that can be done is to show association between success on the above criteria and the implementation of certain type ESAP activities.

Volume 2 of this final report describes in detail the RMC activities carried out during the Phase I survey. For summary purposes, the major tasks and important elements (some of which have been discussed above) are outlined below.

(1) A research design for Phase I was evolved that would achieve the objectives of this study and could be carried out by RMC within existing constraints. It depended heavily on the use of survey research techniques in a very systematic and structured way and assumed that few, if any, respondents would provide actual false answers to our direct questions. The research design specifically recognized that this was a study of short-term effectiveness of a program incorporating a wide variety of activities, and for which there had been only limited opportunities for program impacts to be accumulated or observed. The analysis plan

focused on what changes were perceived to have taken place in certain desegregation-related variables and then examined the association of these changes with the existence and characteristics of certain ESAP activities.

(2) Working with the Office of Education, RMC designed four comprehensive, structured interview instruments. The questionnaires (for project director, principal, teacher, and student) asked questions about such things as expectations of solving racial difficulties, interracial attitudes, perceived changes in interracial behavior, and descriptive information about particular ESAP activities undertaken. The types and sequence of questions asked were particularly chosen so as not to lead respondents to any particular answers; associations of ESAP activities with successful outcomes had to be voluntary on the part of the respondent. A separate mail questionnaire with very short and straightforward questions was designed for members of the ESAP Bi-Racial Advisory Committee. Since it was not possible to measure changes at two points of time, the questions had to focus on what changes respondents believed occurred between the beginning of the school (before the start of ESAP activities) and the point at which they were being interviewed.

(3) Based upon ESAP projects funded as of the cut-off date (December 10, 1970), a stratified random sample of 252 school districts was selected by RMC. Four bases of stratification were used (ESAP grant size, geographical region, percent minority students and students reassigned under the desegregation plan) to ensure a representative sample. Somewhat higher sampling rates were utilized for school districts having larger ESAP grants in order to improve the statistical efficiency of the estimating process and to enhance the distribution of the variety of ESAP activities in the sample (since larger grants have a greater variety of activities). In the second stage of sampling, RMC contacted by telephone those school districts selected (after they received official USOE notification) to verify the ESAP data and obtain information about individual schools affected by those activities. A random sample of schools (ranging from 1 to 16) was chosen in each district depending on the number of schools affected. Sampling procedures were then established for the third and fourth stages of sampling which were conducted by field interviewers. From appropriate lists obtained at each school visited, the interviewer randomly selected two teachers from those heavily involved with ESAP activities and three teachers from those not heavily involved. Interviewers then selected a random sample of five students served by those teachers. These elaborate sampling procedures were utilized

To ensure representative individuals would be interviewed rather than those chosen by, or briefed in advance by, district or school officials.

(4) A multi-racial field staff of RMC personnel (supplemented by field interviewers from the regions visited) was assembled and trained. The intensive training was to ensure a consistent interviewing approach and understanding of the specific instruments to be utilized. The total field staff of 70 visited all LEAs in the sample during March and April. Great care was taken to interview all individuals in the sample even if revisiting was necessary or if enforcement hearings had to be initiated by HEW (as it was in several cases). A total of 252 project directors, 851 principals, 4,291 teachers, and 3,795 students were interviewed. In addition, names and addresses of Bi-Racial Advisory Committee members were requested from all 899 LEAs receiving ESAP funds. The 733 usable replies from LEAs allowed a total of 8,614 quesionnaires to be sent (an additional 1,400 questionnaires were sent during the follow-up procedures). The response rate was approximately 40 percent overall and about 50 percent in the 252 LEAs in which follow-up had been carried out.

(5) Based upon the precoded questions in the interview forms, plus manual reading and interpretation of all open-ended questions, information from the interviews was coded for input into the computer processing programs. The several hundred cross-tabulation tables which had been designed in the earlier analysis plan were then prepared from the data collected by both interview and questionnaire. These cross-tabulations served as resources in the analysis process which examined relationships among a large number of dependent and independent variables in the process of seeking conclusions and recommendations concerning the overall ESAP program.

(6) RMC analysts and consultants analyzed the interview data and the cross tabulations in seeking answers to the questions posed at the beginning of the study. In the process of looking for patterns and relationships, a large number of statistical tests were made to establish confidence in the results.

PHASE I FINDINGS

The discussions that follow highlight the major findings from the Phase I survey data that concern school desegregation in general and ESAP in particular.

This survey produced a wealth of original data and interesting relationships. Since only the highlights can be summarized here, the reader is urged to examine Volume 2 for a further presentation. The sequence of the following discussion is the same as the major sections of that volume.

The main purpose of this study was to assess the impact of the Emergency School Assistance Program during its first year of implementation. This assessment was to be concerned with short-run effects since the program was just getting underway and there had been very limited time for long-term results to appear in sufficient strength to be observed or measured. Short-run criteria for evaluating ESAP focused upon changes perceived by participants in school-related measures of interracial behavior and attitudes.

Description of ESAP Activities and Participants

The observation of the selected sample of LEAs, produced a representative picture of the overall ESAP program. RMC analyzed the over 1,100 separate ESAP activities in the sample LEAs and established a taxonomy that best reflected the actual field experience of ESAP. Table 3-1 fully describes that taxonomy. Table 3-2 presents selected program descriptors for each of the 17 ESAP activity categories defined by RMC and used for later analysis purposes.

RMC also examined the past changes in racial mix of the schools receiving ESAP assistance as a way of estimating to what degree ESAP was reaching its intended target. For some 779 schools in the LEAs visited by RMC, data on the racial mix of the school in the 1969 and 1970 school years were obtained. The change in racial mix between these two years was examined to determine the degree to which the racial mix had shifted in the funded schools. Based upon this information, weighted to reflect the sampling rates for LEAs and schools, the following

estimates of the degree of change in racial mix in all affected schools were made[1]:

- 45 percent had a greater than five percentage point shift toward more integration;
- 15 percent changed toward more integration, but by five percentage points or less;
- 13 percent of the schools became more segregated; and
- 27 percent of the schools had no change in racial mix.

Several of the more interesting observations of a descriptive nature about ESAP activities are outlined below.

- There were a large number and variety of activities undertaken. The typical LEA had between three and four different ESAP activities, but the maximum ranged up to 25.
- Teacher aides were the dominant activity, accounting for almost 12 percent of the activities and nearly 20 percent of the dollars. It also had the highest average expenditure per activity. This was followed, in descending order of frequency and cost, by teacher training, non-ethnic classes and materials, and facility improvements.
- On a cost per project basis the most costly activities were, in descending order: teacher aide; personal community activities; teacher training; busing; and remedial education programs and materials.

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1. The most frequent ways schools became more segregated were for majority white schools to gain more whites or for majority black schools to gain more blacks. Some schools became more segregated through majority white situations shifting to majority black (for example, a 65 percent white school becoming 75 percent black). Only two schools visited by RMC shifted from a majority black to majority white. Similar patterns in reverse apply for schools becoming more integrated. A five percentage point change indicates, for example, a shift from 60 to 65 percent. Estimates are based upon 90 percent of the total sample of schools; this reduced sample occurred either because of missing data or because the school was new in 1970-71.

Table 3-1

RMC TAXONOMY OF ESAP ACTIVITIES

Common Code Identification No.	Activity Title	Definition	Estimated No. Funded	Estimated Average Size of Grant	Types of Activities Funded	Percent
1	Personal Community Activities	These activities were aimed at promoting understanding. They usually indicated that there was a personal, i.e., one-to-one contact, between the school and the community.	104 ± 27	$26K	School-Home Coordinators School-Home Visitations School-Community Relations Other	40 35 15 10
2	Non-Personal Community Activities	These activities were aimed at promoting information. They usually involved the use of media or lectures to affect contact with the community.	199 ± 44	$13K	Public Relations and Information Advisory Committee Support Newspapers, Newsletter, Bulletins TV, Radio, or Film Shows Adult Education Other	35 20 20 10 5
3	Counseling	These activities made specific mention of counselors.	100 ± 34	$20K	Guidance Counselor Other Counselors Other	70 15 5
4	Counseling Support	These activities made mention of supportive assistance to counselors. The support was in non-classwork areas.	201 ± 57	$14K	Counselor Aide Nurse/Attendance Officer Coordinator-Disciplinarian Testing Buildings or Materials Psychological Support Consultants Other	20 20 15 10 10 10 10 5
5	Ethnic Classes and Materials	These activities made specific mention of ethnic classes or materials.	105 ± 36	$17K	Materials Specific Classes Develop New Courses Specialists	50 20 15 5
6	Non-Ethnic Classes and Materials	These activities made no mention of ethnicity.	320 ± 60	$21K	Materials, Supplies, Equipment Curriculum Revision or Plans for Revision Specific Courses Audio-Visual Materials & Equipment Other	40 25 20 10 5
7	Teacher Training	These activities undertook to train or consult with teachers.	301 ± 51	$24K	In-Service Training Workshops and Seminars Other Training Counseling and Consultants Other	55 20 10 5 10
8	Teacher Aide and Support Personnel	These activities provided either support or substitution for teachers.	460 ± 59	$27K	Teacher Aides Teachers Other Aides and Assistants Other	70 20 10 --

9	Student-to-Student Activities	These activities provided means for students to get together out of the classroom but within the auspices of the school.	224 ± 60	$8K	Clubs, Committees Special Assemblies, Trips Courses or Discussion Groups Student Tutors Band Recreation Programs Newspaper Others	25 20 15 10 10 10 5 5
10	Busing	These activities had to do with transportation in general. They usually involved transportation planning or busing of pupils to special classes.	103 ± 35	$25K	Purchase of Bus Use of Bus (extra-curricular) Drivers Aides, Supervisors Route Studies	40 20 15 15 10
11	Remedial Education Personnel	These activities mentioned specific types of personnel who provided the remedial education.	113 ± 34	$17K	Teachers Tutorial Services Specific Classes Other Personnel	55 25 15 5
12	Remedial Education Programs and Materials	These activities mentioned personnel and/or materials as the providers of remedial education. Often a package of personnel and material was called a program.	206 ± 56	$23K	Remedial Programs Materials Reading Labs and Equipment Others	50 30 15 5
13	Comprehensive Planning	These activities related to planning only. No purchases or hirings were included.	63 ± 22	$12K	Planning Studies	90 10
14	Administrative Personnel	These activities covered the hiring or employment of persons not coded elsewhere.	144 ± 37	$14K	Clerks, Typists, Aides General Help or Assistance in Administration of ESAP Other Personnel Other Services	35 35 25 5
15	Materials	These activities covered the purchase of materials or equipment not coded elsewhere.	223 ± 61	$10K	Equipment, Materials, and Supplies Specific Items Books Centralize Services	50 35 10 5
16	Facilities Improvement	These activities covered the purchase, expansion or renovation of facilities.	303 ± 56	$19K	Portable of Mobile Classrooms Renovation Expand or Improve Build	55 30 10 5
17	Others	These activities were those which could not be coded elsewhere or which were described too vaguely for categorization.	56 ± 29	$15K	There were 20 widely different activities listed.	

Table 3-2

SELECTED ESAP PROGRAM DESCRIPTORS

(1) Activity	(2) Number of Activities in Sample	(3) Estimated Total Number of Activities in ESA Program	(4) Estimated Total ESAP Dollars (Millions)	(5) Estimated Average ESAP Dollars Per Activity (Thousands)	(6) Estimated Total Personnel Employed		(7) Percent of Activities in Sample Initiated by January 1971
					Black	Non-Black	
1. Personal Community Activities	50	104	2.7	26	200	330	84
2. Non-Personal Community Activities	81	199	2.5	13	65	65	85
3. Counseling	35	100	2.0	20	70	70	91
4. Counseling Support	77	201	2.7	14	180	180	73
5. Ethnic Classes and Materials	44	105	1.8	17	20	30	76
6. Non-Ethnic Classes and Materials	114	320	6.8	21	160	190	84
7. Teacher Training	122	301	7.1	24	940	1135	77
8. Teacher Aide and Support Personnel	142	460	12.3	27	895	1435	92
9. Student-to-Student Personnel	86	224	1.9	8	180	190	77
10. Busing	32	103	2.3	23	50	30	89
11. Remedial Education Personnel	40	113	2.0	17	185	190	78
12. Remedial Education Programs and Materials	62	206	4.7	23	105	225	84
13. Comprehensive Planning	28	63	0.8	12	5	25	90
14. Administrative Personnel	56	144	2.1	14	80	110	96
15. Materials	55	223	2.2	10	5	10	87
16. Facilities Improvement	88	303	5.7	19	35	30	90
17. Others	24	56	0.8	15	25	10	86
TOTAL*	1136	3225	60.3	19	3200	4255	84

*Totals may not equal the sum of the 17 activities due to rounding.

- Activity selections differed by the degree to which the school had recently experienced a shift in its racial mix. Schools with large shifts selected facilities' improvements, materials and busing more often than those with more moderate shifts, and selected community activities less often than the schools with small shifts in racial composition.
- There was no apparent trend for certain type LEAs to select certain type ESAP activities.

Observations on the characteristics of ESAP participants interviewed by RMC are as follows:

- The categories of respondents had the following percentages of black participants: directors - 12 percent; principals - 25 percent; teacher - 33 percent; and students - 43 percent.
- Of the principals interviewed, 25 percent of the whites[1] stated that this was their first job as a principal in the sample school where only 16 percent of the blacks sampled made this statement. Over half the principals had been principals or assistant principals prior to the current assignment.
- Black teachers had on the average two more years educational experience than whites. Of those teachers new to the sampled school, only 29 percent of the blacks had not taught in an integrated school before as opposed to 75 percent of the white.[1]
- About 15 percent more blacks were found in the sampled schools than in the LEAs as a whole; in other words, in this sample ESAP funds were allocated (collectively) to schools having higher black composition than the other schools in the District.

Desegregation Changes Perceived by ESAP Participants

When directors, principals, and teachers were specifically asked about any changes they observed in the 12 desegregation-related variables listed in Table 3-3,[2]

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1. The survey actually used black and non-black categories. The non-black category was almost totally composed of white anglos, with certain LEAs having sizeable portions of Mexican-American anglos.

2. The 12 variables were defined by RMC based upon the objectives of ESAP regulations and expectations about the desegregation process.

Table 3-3

PERCENT OF RESPONDENTS INDICATING PERCEIVED CHANGES FOR THE BETTER AND WORSE, BY AREA OF CHANGE AND TYPE OF RESPONDENT

Areas of Perceived Change	Change for Better			Change for Worse		
	Dir.	Prin.	Teach.	Dir.	Prin.	Teach.
Interracial Friendships	N/A	78	64	N/A	1	1
Black Student-White Teacher Class Participation	N/A	63	52	N/A	1	1
Interracial Class Work	N/A	64	51	N/A	1	2
Interracial Student Activities	73	49	40	1	2	4
White Student-Black Teacher Class Participation	N/A	46	37	N/A	1	1
Interracial Teacher Relations	72	51	34	1	2	3
Academic Achievement Gap	63	53	34	5	4	8
Interracial Student Groupings	47	38	32	1	2	2
Black Student Attendance	53	33	19	4	6	6
PTA Racial Composition	52	22	16	3	5	6
Parent Contacts	42	21	11	11	24	6
White Student Attendance	15	10	6	6	8	8

N/A = Not applicable because question was not asked.

considerably more positive changes than negative were obtained covering the 1970-71 school year.

- Changes for the better perceived by directors, principals, and teachers are listed in Table 3-3 in descending order of frequency of occurrence. More change for the better was consistently perceived at higher levels in the school hierarchy: directors perceived more positive change than principals who perceived more positive change than teachers. There was good agreement among the three classes of respondents as to the ranking. That is, each class gave basically the same ranking to areas of perceived change.

- The percentages of respondents perceiving changes for the worse was considerably lower, in fact, not above eight percent in all cases except one. Perceived change for the worse was almost a direct inverse of change for the better with respect to position of respondent.

- Position of the respondent was far more significant than race in explaining variations in responses; race appeared to have a stronger influence on perception in only two areas: interracial student-teacher relationships and student groupings. Interracial student groupings was the one area where black respondents saw much more improvement than did white respondents.

- More perceived change for the better was seen by those who began the year expecting difficulties in solving the problems attendent with desegregation than those who began the year with a more positive outlook. Blacks, and those respondents in the schools which had experienced a large shift in racial mix, began the year with less optimism but they also perceived more change for the better.

- Statistical tests of collective teacher response to the 12 areas covered indicated five areas of perceived change that did not entail individual respondents' bias; interracial student friendships, interracial classwork, interracial teacher relations, interracial student groupings, and black student attendance.

- Three of the areas of change asked of students were similarly regarded as reliable measures of school changes: going to school in an integrated environment, making friends with students of a different race, and riding buses with students of a different race.

- One measure turned out to be common to both teachers and students; interracial student friendships. Thus, when asked about changes in this measure, the sampled teachers, or students, in a school tended to answer collectively that the perceived change was for the better or that there had not been a change for the better. This collective perception of change may well be an indicator of actual change.

Overall Impact of ESAP

Initial investigations focused upon the impact of ESAP as a whole, i.e., the aggregate effect of all of the various ESAP activities. Two approaches were defined: one which compared the success in schools having certain ESAP activities to other ESAP schools not undertaking that particular activity; and a second which compared respondents citing of ESAP activities as the cause for success when specific activities were and were not present. Success in both cases was defined as positive change perceived by respondents in the five desegregation-related measures found reliable (more interracial student friendships, improved relations between teachers of different races, more interracial student grouping, and increased attendance of black students).

Table 3-4 presents the results of the first approach. That approach is based upon the assumption that if different ESAP activities had differential impacts over the last school year, it should be possible to observe this by comparing the incidence of positive perceived change in those shools with the activity with the incidence in those schools which did not select that activity. In this overall examination, responses were aggregated over all 17 types of ESAP activities. There is a positive differential for both directors and principals where ESAP activities are present; it is statistically significant although small. For teachers and students there are essentially no differences.

Even though RMC took maximum advantage of the available retrospective data, the inherent structure of ESAP activities allow uncertainties to remain. While the with and without groups being compared provide some control of invalidating factors, it must be remembered that those schools not having the particular ESAP activity being examined, had one or more other ESAP activities underway. However, it is presumed that the schools chosen for ESAP were similar in many respects; i.e., they all were undergoing desegregation and had many problems in common.

In the second approach, respondents were asked what factors contributed to the desegregation-related changes about which they were being questioned (this

was prior to discussing specific ESAP activities). In absolute terms the incidence of citing an ESAP activity as leading to positive change was very low. However, by separating the citations into groups corresponding to the presence of ESAP activities, the relative differential was used as a basis for assessing the overall impact of the ESAP program. Table 3-5 shows these results. The mention of an ESAP-type activity when it was not in that school means that the respondent cited one of the 17 type activities commonly undertaken under ESAP (such as teacher aides), but according to the project director such an activity was not funded by ESAP in that school.

Results in this table are significant at the 95 percent confidence level due to the very large sample of responses and the low probabilities involved. They show that the presence of an ESAP activity in a school is strongly correlated with its mention as being associated with perceived positive change. Again, even though the incidence of mention is low, the differential mentions are very significant.

One of the reasons for the low direct mention of ESAP activities by respondents is evident when it is recognized that ESAP underwrites only a small fraction of the educational programs going on within a particular district; ESAP funds usually account for less than two percent of the total school-district budget. Moreover, school districts are usually undertaking activities similar to those undertaken with ESAP funds through support with other federal funds (such as Title I ESEA) or through their own funds. RMC observed in both its survey and case studies that there was considerable confusion or lack of information on the part of school personnel about the special programs taking place in their school and what source funded them. This confusion was especially prevalent between ESEA and ESAP.

In the aggregate then, there was evidence that ESAP had a small positive overall impact based upon the two approaches examined. But because the differentials are quite small and because of weaknesses in the available cross-sectional control groups, some questions remain unanswered. Therefore, other dimensions of ESAP impact must be investigated before final conclusions can be formed.

Table 3-4

EFFECT OF PRESENCE OF AN ESAP ACTIVITY
IN A SCHOOL/DISTRICT ON THE PERCENT OF
RESPONDENTS INDICATING POSITIVE PERCEIVED CHANGE[a]

Respondent	Activity Present	Activity Not Present	Differential
Director	56.0	52.6	+3.4[b]
Principal	54.9	53.5	+1.5[b]
Teacher	39.8	39.4	+0.4
Student	30.9	30.9	+0.0

a. These percentage changes do not match those shown in Table 3-1 since only the measures that hold up statistically are included (five for teachers and principals, three for students and project directors).

b. Differentials are statistically significant at 95-percent level.

Table 3-5

INCIDENCE OF THE CITING OF AN ESAP-TYPE ACTIVITY
AS A FUNCTION OF THE PRESENCE OF AN ESAP-FUNDED ACTIVITY

Respondent	Activity There	Activity Not There	Total Citations
Director	4.9%	1.4%	232
Principal	3.2%	1.0%	502
Teacher	1.0%	0.3%	564

Impact of Specific ESAP Activities

While the overall program impact is probably small, there are certain activities that seem to produce differential effects of large magnitude and significance. It appears that the ESA Program may have contained enough good and bad activities to allow impacts to cancel out. To the extent good activities can be emphasized and less effective activities curtailed, the overall program impact in future years could be expected to be significantly increased. With the wide variety of activities and local situations which are an inherent part of ESAP (combined with the very short time within which the projects were conceived and implemented), it is not surprising that not all activities were fully or equally effective. For these reasons, further investigation of the differential impact of different ESAP activities was carried out.

The basic analytical approach parallels that used for overall impact--comparison of groups of schools undertaking a specific ESAP activity to other ESAP schools not undertaking it. RMC found several distinct patterns among the 17 activity types, even after allowing for alternative ways of weighting the responses of different respondents and of testing statistical significance. Based upon these patterns RMC was able to group activities into three effectiveness categories, as follows:

- Four types of ESAP activities were associated in a positive way with perceived success in the sample LEAs.
    - Counseling
    - Counseling support
    - Student-to-student programs
    - Remedial programs
- One activity--Teacher Training--had a strong and consistent negative association, i.e., it was heavily associated (particularly by students and teachers) with worsening conditions.
- The rest of the activities had a neutral or inconclusive impact.

This set of findings is one of the more important of the study since it facilitates further improvement of ESAP.

Impact of ESAP Activities Upon Attitudes

Based upon questions about interracial attitudes and behavior asked of respondents, it is possible to identify several trends or patterns.

- There was general agreement between the findings of the impact analysis and the questions on attitudes and opinions. In general, better activities had more frequent positive answers to attitudinal questions. The only exceptions were the activities of non-ethnic classes and materials, and student-to-student programs which were not strongly related to attitude improvement.

- Community types of activities had several noteworthy effects: the presence of this activity seemed to ease the fears associated with desegregation--a phenomenon noted more by directors and principals than by teachers who still sense much concern. This result did not vary with race. Community activities did not appear to have much effect on feelings in the classroom, although directors seemed to think so more often than principals or teachers. Black principals saw improvement in this area resulting from community activities much more often than their white counterparts or people at other levels in the educational system.

- Counseling activities seemed to have a strong motivating effect, both in the classroom and outside the classroom. The impact, however, was primarily social and attitudinal rather than academic.

- Only 24 percent of the teachers and 45 percent of the directors thought that white students felt better toward the blacks due to the introduction of multi-cultural materials. Higher percentages, however, felt that such materials helped blacks feel more at ease. Principals and teachers of both races tended to say that white students were more responsive than blacks to innovative or new ways of instruction.

- In general, there seemed to be considerable racial differences in the answers to the questions on curriculum revision, but little impact by position. Black teachers seemed to be more eager to change, and they were not percieved by whites to be reluctant to change. White teachers on the other hand tend more to favor the tried and true methods of teaching.

- Even though teacher training activities were judged ineffective by the earlier impact analysis, teachers view these activities positively, and strongly rejected negative statements about them. It would appear, therefore, that these activities create little friction and are regarded as desirable by teaching and administrative personnel.
- Teacher training activities have not played much of a role in helping teachers in adjusting well or establishing rapport with students of the opposite race.
- But despite this lack of impact, high percentages of respondents at all positions rejected the negative statement that teachers still dislike dealing with students of another race. Indeed, teachers of each race thought they liked dealing with the other race more as a result of teacher preparation activities.
- Student-to-student activities evidenced a rather low incidence of positive response in the area of attitude change, notwithstanding their frequency of mention as a cause of positive perceived change.
- Remedial education activities evoked positive response in almost all instances. The activities were not viewed as being primarily for students of either race or as a way to get disciplinary problems out of the classroom.

Other Analyses

Further analysis revealed the following relationships, all of which support other findings and lend additional confidence to the results.

- More intense application of several activities (as measured by dollar per pupil expended in a LEA) produced more strongly positive results: community activities, counseling, and remedial personnel all exhibited this phenomenon.
- An inverse relationship between intensity of application and results was observed with respect to teacher training, and non-ethnic classes and materials, i.e., the higher the intensity level, the less success was reported.
- Counseling, counseling support, student-to-student programs, and remedial programs exhibited increasing positive change where they had been implemented for longer periods.

The responses to the mail survey of members of the ESAP Bi-Racial Advisory Committee indicated the Committee felt their roles were important in the conduct

of ESAP, and that they had been effective. Blacks felt significantly stronger than whites that BRAC played an important role. This is probably a reflection of the fact that blacks normally have limited opportunities to participate in school administration in most ESAP schools. In most respects, the BRAC survey was inconclusive and, therefore, played only a minor role in analysis of ESAP activities or effectiveness.

RMC also analyzed the effectiveness of ESAP-related technical assistance provided by OE to local districts, and the results of that examination have been discussed on pages 12 and 13 of this volume. Similarly, pages 11 and 12 present the results of RMC's analysis of the effectiveness of ESAP project management by local districts.

4

PHASE II METHODOLOGY AND FINDINGS

PHASE II METHODOLOGY

The basic structure of Phase II is traditionally called case study analysis. Each case, in this situation a specific LEA, was treated as a separate entity and analyzed separately. Such a process is desirable and necessary when the conditions of each case differ greatly and, therefore, require flexibility of approach. Given the wide variety of ESAP activities, it would be very constraining to be limited to the same questions and technical approach for a comprehensive analysis of, for example, a public relations campaign in the community, a special remedial program for underachieving students, or a group of human relation seminars to a group of elementary teachers. Moreover, school districts vary widely in their desegregation status, community acceptance of desegregation, and the use of other special programs to attack desegregation-related problems. The case study approach can accept such differences and explore each aspect to the depth warranted by the individual situation. Of course, as a result of this flexibility, it is very difficult to aggregate situations across districts and to meaningfully generalize from the limited sample that such in-depth analysis usually allows.

Another purpose of USOE to be accomplished by this case study approach was to identify and document ESAP activities that were particularly effective in achieving the objectives of that project and of ESAP; i.e., to find good projects, explore what may have made them good, and to fully describe the situation so that other schools may benefit. As a result of this intent, the criteria for selection of the 20 districts

to be examined in detail emphasized being exemplary and fully representing the various type activities that could be undertaken by ESAP. Since most ESAP activities were just getting underway, it was necessary to depend on a consensus of judgment of government and non-governmental people who had actual exposure to local activities. In short, the selected case study districts are not intended to be representative of all ESAP districts. Since districts average about four separate ESAP activities, the sample is still likely to include activities with a range of effectiveness, i.e., some good, some poor, some average. Table 4-1 presents the list of the selected districts and several comparative characteristics.

The basic methodological problem with case studies of a large number of districts is to structure the approach such that different staff members can visit individual districts and have guidance as to what questions are being investigation and how they should proceed to collect data and interpret findings. In addition, RMC wanted as much common structure as feasible in order that cross-district aggregation and analysis could be carried out. The approach adopted is best summarized through examination of Table 4-2.[1] In matrix form it presents questions and specific data items which serve as guides to investigators during their data collection and subsequent evaluation. As can be seen from the main column headings, four specific areas were examined:

(1) the context of local environment, special needs, and specific ESAP objectives within which a particular ESAP activity operates;

(2) the planned design of the original LEA project plan, including goals, staffing, schedules, procedures and budgets;

(3) the actual process that was carried out when specific activities were implemented; and

(4) the outputs or results that were produced by the ESAP activities in terms of impacts or effects on attitudes, behavior, and performance.

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1. It will be recognized that this approach is an adaptation of the CIPP evaluation structure (Context, Input, Process, and Product) originally defined by Dr. Daniel L. Stufflebeam and Dr. Egon G. Guba.

Table 4-1

COMPARATIVE CHARACTERISTICS OF PHASE II DISTRICTS

LEA	1970-71 Pupil Enrollment	Students			No. of Schools	1970-71 School Budget (millions)	Per Pupil Expenditure[1]	ESAP Activities (RMC Categories)[2]	ESAP Budget
		Black	White	Spanish Speaking					
A. Abilene, Texas	19,781	8%	79%	13%	35	$11.7	$ 528	1,9,14,15	$ 67,500
B. Auburn, Ala.	3,377	34%	66%	-	7	$ 1.4	$ 400	2,6	$ 63,740
C. Charlotte, N.C.	80,898	30%	70%	-	103	$52.0	$ 663	1,2,5,7,8,13,14,16	$ 708,100
D. Dorchester, Md.	6,477	40%	60%	-	21	$ 4.6	$ 713	3,4,5,6,7,14,16	$ 120,666
E. Dumas, Ark.	2,593	57%	43%	-	3	$ 1.2	$ 457	3,6,7	$ 84,560
F. Durham, N.C.	13,149	63%	37%	-	25	$ 9.3	$ 800	1,2,3,5,7,8,11,14	$ 229,783
G. Hampton, Va.	31,971	27%	73%	-	40	$20.0	$ 582	6,7,9,11,12	$ 172,366
H. Lexington, N.C.	4,814	24%	76%	-	9	$ 3.1	$ 552	9	$ 22,000
I. Salisbury, N.C.	3,862	37%	63%	-	7	$ 2.9	$ 576	2,3,7,8,11,13	$ 75,000
J. San Antonio, Tex.	74,423	16%	24%	60%	96	$45.0	$ 540	1,2,3,5,7,9,13,17	$1,165,300
K. Greenville, S.C.	59,000	22%	78%	-	101	$25.0	$ 503	1,3,5,6,7,10,14	$ 359,998
L. Harrisburg, Pa.	12,484	58%	42%	-	17	$12.9	$1,000	1,4,6,7,9,13,15	$ 75,723
M. Kankakee, Ill.	7,701	21%	79%	-	14	$ 7.6	$ 986	4,12	$ 35,960
N. Macon, Ga.	5,211	95%	5%	-	11	$ 3.0	$ 440	6	$ 90,018
O. Polk County, Fla.	57,933	22%	88%	-	81	$87.0	$ 640	1,5,7,9,12,14	$ 380,000
P. St. Landry, La.	21,082	53%	47%	-	43	$13.4	$ 550	1,4,6,7,8,14,16	$ 303,603
Q. Sumter, S.C.	11,943	42%	58%	-	15	$ 4.9	$ 431	2,4,5,9,13	$ 156,243
R. Tuscaloosa, Ala.	12,264	27%	73%	-	21	$ 6.4	$ 396	2,6,7,8,10,13,16	$ 124,950
S. Williamson, Tenn.	6,602	21%	79%	-	13	$ 3.3	$ 506	7,17	$ 9,750
T. Escambia, Fla.	46,987	25%	75%	-	66	$36.0	$ 765	4,6,7,8,14,15,16	$ 224,895

1. For comparison, the national average per pupil expenditure is $703.
2. These 17 categories expand upon the categories established by USOE for use by grantees; they were developed by RMC from Phase I field data. Category identification is included in Table 3-1

GENERAL FORMAT FOR EVALUATION OF ESAP PROJECTS WITHIN LOCAL EDUCATIONAL AGENCY

	CONTEXT	PLANNED DESIGN	ACTUAL PROCESS	OUTPUT
Claims (Self Reports)	1. Special needs and problems of LEA. 2. Target population--grade levels, special children, etc. 3. Opportunities and available resources. 4. LEA Project objectives and goals. 5. Expectations of outcome.	1. Proposed plan and procedures to achieve objectives. 2. Mechanisms--activities and methods to be used. 3. Schedule--frequency of meetings, etc. 4. Project budget. 5. Staffing plan. 6. Project organization.	1. Project procedures implemented. 2. Activities and methods actually used. 3. Record of events--number of meetings, frequency, participants reached. 4. Description of actual activities with assessment of events: • off schedule/on schedule, • didn't hire staff/adequate staff, • money poorly/properly allocated, or • facility--misuse/good use.	1. What are organizational or structural changes resulting from project? 2. Attitudes and expectations. 3. Knowledge gained. 4. Skills learned. 5. Behavioral changes. 6. Were there any unexpected results?
Verification (Direct Evidence)	1. Check extent of needs and problems with outside sources. 2. Verify existence of target population. 3. Written memos or documents supporting context claims.	1. Revised plans (e.g., proposal modifications). 2. Planned variations on the original plan. 3. How roles of participants have changed from original assumption.	1. Investigate reported events. 2. Discrepancy checks. 3. Observe activities in person. 4. Verify reported description (item 4 above).	1. Test scores. 2. Attendance record. 3. Written reports of reported outcomes. 4. Vandalism. 5. Check new organizations, structures. 6. Verify reported outcomes with outside sources.
Evaluation	1. Are project objectives known and clear? 2. Do objectives relate to needs and special problems? 3. Do objectives have role in desegregation? 4. What is educational worth of claimed objectives?	1. How good or valid is project design? 2. Does design relate to objectives? 3. Can planned procedures reach all target population? 4. Are revisions in keeping with stated objectives?	1. What is link between planned design and actual process? 2. Does evidence support claimed activity? 3. Given the design--is it worth it? 4. Does actual process relate to objectives? 5. Is project making progress toward goal? 6. Quality of staff--training received.	1. What is link between project results and stated objectives? 2. Does direct evidence support claimed results? 3. What is relationship to desegregation? 4. Is emphasis where it should be?

The stubs on the three rows of the table rmind evaluators that there are three main sources of information on which each case study situation depends. The first is claims or self-reports (in response to RMC questions) from individuals participating in or affected by desegregation in general or ESAP in particular. The situation is similar to that faced by the Phase I survey; since the study is primarily retrospective in nature, data collection is dependent on claims of people involved as to what actions were actually taken and what was the intent of these actions. While three instruments (for counselors, teachers, and parents) were designed and utilized in order to provide some basis for cross-district comparisons, most information about ESAP activities and effects was obtained through personal interviews with relevant persons within the school and the community.

As the second row indicates, investigators seek to obtain verification type information, particularly direct evidence about ESAP design, process, or output. This area of data collection is the most difficult since most of the activities being undertaken do not facilitate objective measurements of their effects. In most cases we can obtain direct evidence that the activity was undertaken (i.e., of inputs), but little evidence about the specific intended outputs or products. Furthermore, personnel in local school districts are not used to thinking in terms of specific outputs or in presenting direct evidence of other aspects of performance. One method of verification utilized by RMC researchers (to the extent activities allowed) was direct observation of ongoing ESAP activities. Since the resources or conditions did not allow RMC to make performance measures (i.e., give achievement tests or other performance-based measures), we had to depend to a large extent on observation, claims by participants, and data (if any) collected by the LEAs as a part of their own evaluations.

The third row of Table 4-2 indicates the need for specific evaluation on each of the issues of context, design, process, and output. Although comparisons can be made between the claims made by participants and the verification-type evidence obtained elsewhere, individual judgment of on-site observers and evaluators is still required in most areas. The purpose of the case study framework being described is to

structure that judgment into manageable and specific areas and therefore to avoid the necessity for an overall, highly subjective judgment that is difficult to justify or document.

The details of the operations carried out during Phase II will be presented in Volume 3, but for summary purposes, significant components are outlined below.

(1) Based upon the exemplary criteria suggested in the Request for Proposal, RMC initially selected 26 LEAs that were expected to be undertaking one or more particularly effective ESAP activity. Recommendations were solicited from HEW regional officials, university desegregation center personnel, and other persons having firsthand experience of LEA operations and were checked against Office of Civil Rights files. RMC staff visited 24 LEAs for orientation purposes and with USOE concurrence, the final list of 20 were selected.

(2) A structure for data collection and analysis was devised that would provide guidance to indivdual case study researchers. Questionnaires were designed for use with counselors and teachers participating in various ESAP activities. A mail questionnaire for parents was also utilized to sample community reaction and behavior. Random samples of several hundred parents in each district were selected and mailed this questionnaire, but the response rate was fairly low.

(3) A series of visits were made by the study teams to each selected LEA during the period of March through June to collect needed data, observe ongoing activities, and interview school and community personnel expected to be knowledgeable about the activities of interest. The exact areas investigated and the individuals interviewed varied among districts and had to be developed by each researcher as the case study progressed. In some cases, consultants or specialized RMC staff members accompanied these teams to investigate particular areas. In all cases, representative parents, community officials, and other non-school personnel were interviewed.

(4) Utilizing the data and information obtained from all sources, the principal investigator for each LEA prepared a case history of that LEA presenting background information of the district, desegregation status, activities undertaken under ESAP, and RMC conclusions and recommendations. Appropriate analysis techniques were used dependent on the activities and available data in specific LEAs. These case histories were refined and are included as Appendices to Volume 3 of this final report.

(5) Based on these case histories, cross-district analysis was carried out. Through comparison of similar activities in similar situations, an attempt was made to generalize and to discover which types of ESAP activities were more effective in which situations.

PHASE II FINDINGS

The Phase II portion of the ESAP evaluation was designed to examine 20 individual LEAs and report in detail about specific problems and program results that were observed. As one might expect with a program as comprehensive as ESAP, the variety of purposes and results achieved by the 20 LEAs in the Phase II sample were extremely broad. It is difficult to draw simple, hard conclusions from these unique ESAP experiences. The subjective nature of the case study approach adds to this problem. The small number of cases and the non-representativeness of the sample preclude making generalizations about the total ESA Program from Phase II investigations.

Within these limitations, this section is intended to share some of the insights resulting from the investigations and preparation of the case histories. Of course, it should be remembered the primary outcome of Phase II is the set of 20 case histories (which are attached as appendices to Volume 3). This chapter discusses separately the conclusions about each major type of ESAP activity and general Phase II conclusions.

Conclusions about Specific Activity Groups

In total, approximately $4.5 million of ESAP funds were spent in the 20 Phase II districts. Although some of this money overlaps into several activity categories, a breakdown of the approximate expenditures by major activity group is as follows:

Community Information (Personal and Non-Personal)	19%
Counseling and Counseling Support	8%
Curriculum Revision (Ethnic and Non-Ethnic)	32%
Teacher Training	8%
Teacher Aides and Support Personnel	7%
Student-to-Student	6%
Remedial Personnel and Programs	9%
Comprehensive Planning and Administrative Staff	5%
Miscellaneous (Busing, Materials, Facilities Improvement)	6%

This distribution differs substantially from the representative sample drawn for Phase I. These 20 districts chose to carry out far less teacher-aide activities (7 percent vs. 20 percent) and somewhat less teacher training activities (8 percent vs. 12 percent). In contrast, they chose far more curriculum revision (32 percent vs. 14 percent), community information (19 percent vs. 9 percent) and student-to-student activities (6 percent vs. 3 percent). In fact, teacher aides was the largest dollar expenditure in Phase I sample, but the sixth in size for Phase II.

It is not possible to explain the collective motivation for these large differences or to compare relative effectiveness between the two samples. But these differences may be meaningful since Phase II districts were selected with the expectation that they were carrying out exemplary ESAP activities.

With this background in mind, the discussion now moves to the conclusions for each major activity type.

- Community Programs. The ESAP community activities tended to help the process of desegregation but to have little effect on the quality of education in the schools. The activities observed were of two types: personal programs which enabled the school to have more direct contact with community groups--primarily parents--and the nonpersonal programs which centered around delivery of information through the media or through a school center.

  RMC concluded that the personal programs had their greatest impact on school relations with parents and that generally the programs did this first by getting parents involved in activities related to the schools and second by giving them correct information about the school and desegregation. It was found in most of the systems

utilizing funds for this purpose that the programs did not have much effect on student-to-student relations, teacher-to-teacher relations, or on teacher-to-student relations. Although it had been hoped that work with parents on matters relating to school desegregation would affect their children's reactions to peers and teachers of another race, there was no evidence that this had occurred. It was found that schools which had personal community programs did not experience any additional participation or change in racial make-up of the participants in the extracurricula program. It was also found, not surprisingly, that the educational gap was not lessened in the schools having these programs.

In the area of nonpersonal community programs it was found that these programs were delivering accurate and timely information to the community; that they were able to assure parents about the safety and well-being of their children in the desegregated schools (this was particularly true of the "rumor centers" in time of a crisis or in times of rumored crises). It also was felt that these types of community information programs helped to keep rumors at a minimum although there was no way to assess what might have been otherwise. The communities involved had no major racial disturbances, but it is not possible to attribute this completely to this ESAP activity.

The RMC parent questionnaires particularly addressed the information aspect. It was found that the questionnaires returned from parents in districts with community information programs which used mass media for information distribution gave the schools good or excellent ratings in this area. However, it is interesting to note that the schools not having ESAP community media information programs were also given good to excellent ratings.

- Counseling and Counseling Support. These activities received high marks by evaluators for their roles in aiding desegregation and in helping improve the quality of education in schools where they were implemented. Nearly 100 percent of the money in these two activities was expended for personnel, who in turn provided services to students.

  Although the programs studied operated on all levels of sophistication, they were meeting the objective of working with people to solve problems. They were probably more successful than some other ESAP activities because this type of program is able, in many cases, to produce immediate results, or in the case of complex problems, at least start helping students who had never received constructive help before. An additional, and relatively unexpected result of these programs, was the finding that teachers utilized counselors and counselor support persons to a large extent for resource and help in finding solutions to educational problems.

- Ethnic and Non-Ethnic Curriculum Revision. ESAP funds expended on curriculum revision for other than ethnic purposes seemed to be of "lukewarm" effectiveness when all types of evaluations are taken into account. However, there was a tendency for the field staff to feel that with some revision in procedures this type of project could have the potential for better return. This is especially true since they felt that there was a need for curriculum revision in order to better educate many students. This, in turn, should have a significant effect on the success of the desegregated school. It is obvious that with curriculum revision comes the need for different materials and equipment. This type of instructional support has to come through purchase or through local development of curriculum materials.

  ESAP funds expended in this area were utilized for a wide variety of activities. Many of the activities were aimed, however, at the current educational interest in the individualization of the curriculum. There tended to be a heavy reliance on the pre-packaged programs currently available. For several LEAs, curriculum revision represented a very expensive undertaking.

  RMC teams generally felt that better results could have been attained if the schools had gotten technical assistance and/or consultative advice before and during the revision of these classes and materials. Many of the LEAs indicated that their main problem here was the unavailability or lack of time to recruit properly trained staff to direct this task. They also had little success in attracting their staffs to work on adequately developing or revising curriculum. Many team members also felt that instead of wholesale implementation of "new techniques" such as team teaching for all primary children, there should have been the addition of a "diagnostic-prescriptive" element in an attempt to determine how many children might benefit from relatively unstructured versus structured curricula plans.

  The ESA funds providing for ethnic materials and classes were felt by the RMC teams to be valuable. These funds were for the development and revision of curriculum and for the purchase of materials that would include both sides of the ethnic picture. The teams felt that many schools were examining materials and curriculum for the first time to determine whether there was fair representation of all minority groups. Once this was started there are strong chances that it would be continued. Therefore, ESAP funds spent on this activity in the 20 LEAs studied may have started a tendency

which will continue with or without ESAP financial support. Desegregation was not the direct cause for many problems that curriculum revision was attempting to solve. It did, however, confront LEAs with an immediate need to find solutions for problems that had existed for a long time.

Responses to teacher questionnaires from districts where ESAP funds were used for curriculum revision classes and materials supported the teams' evaluations. The central thrust of the responses can be expressed generally as "somewhat" aiding educational quality and the desegregation of schools.

- Teacher Training. The ESAP programs were viewed by case study teams as not being either the best or the worst in terms of aiding desegregation or improving the quality of education. The responses from the teacher questionnaires substantiated this neutral effect. One of the main problems with the effectiveness of the teacher training in human relations and in educational techniques was that it didn't reach enough of the staff members. The hoped for "multiplier effect" did not work and, in many cases, there was not enough space in workshops to accommodate all teachers who wanted to come. In the case of on-the-job training there were often not enough resource people to cover needs.

  However, many teachers who were able to participate in teacher training felt that they were helped by learning about new techniques to deal with specific academic problems and they were able to learn more about other races and follow this with a change in attitude toward faculty and students of that race. It was noted that most of these teacher training activities were of the traditional in-service type relative to both format and content. Improved approaches might offer greater returns in the future.

- Teacher Aides. This broad category of classroom support personnel elicits strong emotional and positive reaction from administrators and teachers, but it is difficult to substantiate th- e effects with evidence. The ultimate effect on the children of this extra classroom support remains an open question. The RMC field teams were also favorably impressed during their on-site investigations and interviews, but were not able to identify evidence of positive effects on education.

  It was generally found that teacher aides were not utilized on a one-to-one basis; the median amount of time spent per week in each classroom was between four to ten hours. Teacher aides were given little or no training for their jobs yet were often used for teaching tasks. Most often they were used to work

individually or in small groups with "slow learning students." This brings an ironic note to the teacher aide program; individuals untrained in specific techniques were often working with the students most in need of professional help.

On the positive side of the teacher aide programs were (1) the fact that the aides were well accepted by school personnel and the community; (2) the tendency for the program to meet its objectives better if duties for aides were clearly spelled out, therefore emphasizing the non-professional role in assisting the teacher, and (3) the benefit of the presence of another adult in the room who could help with such practical matters as discipline, thus allowing the teacher to work with individuals and small groups of students. An important problem faced by all LEAs was the need to reach more teachers without spreading the services of the aides among too many teachers. Based upon average activity size, teacher aides are relatively expensive. Use of teacher aides should be weighed by LEAs relative to their other needs and alternative uses for desegregation funds.

- Student-to-Student Programs. The programs grouped under student-to-student activities were generally considered as having medium affect. This affect was positive in that these programs seemed to respond to the needs in the districts for the improvement of student-to-student relations. The districts did provide activities which were structured for racial balance; they did involve students in planning for these programs and seemed to provide these activities at modest cost. The persons involved in the programs felt that they were very successful. However, this seemed to be where success broke down.

  Most of the programs did not reach all students; the hoped-for multiplier effect (i.e., some schools worked with certain groups of students with the anticipation that these students would, in turn, work with larger numbers of students) did not come about. In several cases these programs under the student-to-student activity classification were not available when needed, i.e., they were planned for the wrong time period or were available after the need had passed.

- Remedial Education Programs and Personnel. These activities were considered to be among the best for improving the general quality of education at desegregating schools, but RMC teams felt that they provided little or no help in the actual process of desegregation other than to reassure the community that the school system was concerned about helping both black and white disadvantaged students.

The programs observed tended to show evidence of identifying the educational needs in their LEA and then proceeding to remediate these problems. They also tended to have good overall management, but some of the programs could have utilized technical assistance in working out some of the program details. RMC did question whether these relatively high cost programs should have been underwritten with ESAP funds. Most of the needs responded to were not coming about because of desegregation--they had always been there, and perhaps these programs should have been funded out of local funds or out of funds earmarked for the educationally disadvantaged.

The uncertainty about future ESAP funding led some districts to invest heavily in purchased materials for remediation and to avoid hiring additional staff.

- Miscellaneous Activities. There were only a few small transportation-related activities in Phase II and they all seemed useful and beneficial in both educational and desegregation aspects. None involved busing students to bring about desegregation, but rather focused upon ameliorating the effects of reassignment upon certain students (e.g., to attend vocational classes in another school).

Comprehensive Planning and Administrative Personnel were supported with ESAP funds in many districts, but usually involved covering part of the salary of regular school staff working on ESAP or desegregation matters. In general, RMC felt that improved planning (not necessarily more money) could have increased the effectiveness of ESAP activities, but recognized that outside technical assistance might be needed. In many cases, there was concern that ESAP funds were being used to support ordinary administrative functions that might better have been covered by regular district funds.

Facilities improvement in Phase II districts amounted almost completely to purchase of portable classrooms. While these purchases usually did solve immediate needs arising from desegregation plans, RMC is concerned that LEAs might consider this a permanent solution to building and overcrowding problems.

General Conclusions

The case study approach used in the Phase II evaluation was beneficial to a deeper understanding of unique school district experiences as a result of receiving funds specifically allocated to solve problems due to implementation of approved desegregation plans. Phase II allowed a much deeper examination than Phase I into the operational problems a school district may have experienced as a result of the ESA Program. Phase II permitted the evaluation staff to see how ESAP fitted into existing school plans and whether or not there was any indication that ESAP funds altered the way in which a school district approached desegregation.

As a result of these Phase II efforts several general conclusions emerge. As cautioned earlier, even though RMC believes these conclusions to be generally true, the limited nature of the Phase II sample must be kept in mind:

(1) Whatever their success, there seemed to be sincere effort and desire on the part of the LEAs in the Phase II sample to utilize ESAP funds to help alleviate problems caused by desegregation. There also seemed to be a sincere effort to determine what was needed and then decide which types of activities could provide for those needs.

These planning decisions on activities were made:

(a) in only a minimal time;

(b) usually at the top level of administration;

(c) with little, if any, assistance from the federal government;

(d) with a view to satisfying many objectives and perceptions of needs;

(e) with a heavier emphasis on the educational needs of a desegregating district than on the sociological needs; and

(f) with the feeling that use of funds to improve educational quality wouldn't "stir up" the community like human relations activities might.

(2) The 20 LEAs included a mixture of many successful and a few unsuccessful ESAP activities. The concept of selecting districts expected to be "exemplary" was very difficult to implement because of lack of agreed-upon criteria for being exemplary and the lack of operating information about ESAP activities at the point of selection. In any case, the nomination and selection process utilized by RMC and USOE for Phase II did result in a sample which included an above-average group of ESAP activities.

(3) One important but subtle way that ESAP assisted the school desegration process was to provide school officials an acceptable reason for undertaking certain actions. School districts were able to openly face the issue of desegregation and present solutions to problems caused by desegregation without "losing face" with community residents since they could say it was a federal program and not a local program. In many cases, the school was the leading force within the community as far as fostering interracial integration.

ESAP also provided a focus on minority children and their special educational problems, perhaps for the first time in many districts. As a byproduct, community residents and parents became more aware of the new problems that school systems faced and a meaningful dialogue was initiated.

(4) One of the all-pervasive elements in these case studies has been the importance of people in the success of an ESAP activity. It is often dynamic leadership or extra-special performance that makes the difference. This does not represent a variance from the findings of many other recent educational studies. Studies on class size conclude that the size of class (within certain limitations) does not affect pupil performance--the teacher does. Studies of reading methods have found that again it is the teacher and not the method that affects performance.

These case studies have not had the benefit of such longitudinal analysis, yet there is the ever-present contention that the successful activities are that way because of the person directing them or responsible for them. This condition was variously described as "the right person for that job," "the person believes in what he is doing," "he knows people and how to work with them," "her enthusiasm for desegregation is contagious," "he follows through on plans," etc.

(5) Many problems and characteristics RMC observed for ESAP are similar to the first year of a new program (particularly one with short planning time). For example, the first year of Title I, ESEA (1965-66) had the following similarities to the first year of ESAP:

(a) a great fragmentation of activities undertaken by the LEAs,

(b) difficulty in obtaining and retaining qualified staff,

(c) events and decisions affected by fear of program not being permanent,

(d) late start of program and resulting limited time for planning and applying, and

(e) limited expectation of impact because funds spread so thinly by USOE and by LEAs.

Admitedly, there were also dissimilarities from Title I that may have affected the outcomes.

(a) very fast approval of ESAP application by HEW,

(b) LEAs now more used to late Congressional action,

(c) LEAs now less fearful that federal government is going to usurp local power or control,

(d) teacher supply now much more plentiful, and

(e) ESAP required the involvement of community through the Bi-Racial Advisory Committee.

(6) With only a few exceptions, the LEAs were not undertaking evaluations of their ESAP activities as a basis for meaningful modification or decisions about continuing them. In most cases, basic process data was not being collected (which is a necessary ingredient to later analysis). Policy decisions were usually completely subjective in nature and made by school administrators directly involved in the ESAP activities.